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U.S. APPLICATION NO.

09/763994

FIRST NAMED APPLICANT

RECEIVED

ATTY. DOCKET NO.

B

X-12239

INTERNATIONAL APPLICATION NO.

PCT/US99/19436

I.A. FILING DATE

30 AUG 99

PRIORITY DATE

01 AUG 98

ELI LILLY AND COMPANY
LILLY CORPORATE CENTER
INDIANAPOLIS, IN 46285

OCT 02 2001

ELI LILLY & COMPANY
PATENT DIVISION

Due: Oct 20, 2001

DATE MAILED: 20 SEP 2001

NOTIFICATION OF A DEFECTIVE RESPONSE

1. ☐ The request for an extension of time (37 CFR 1.136(a)) filed _____ is defective because the required fee is missing/insufficient. Extension of time fees are listed at 37 CFR 1.17(a)(1)-(a)(5).
2. ☐ Applicant's response filed _____ was received in the Office after the expiration of the period for response set in the Office notification mailed _____. This application will become abandoned unless applicant obtains an extension of time to reply to the last Office notification under 37 CFR 1.136(a).
3. ☒ Applicant's response filed JUN 08 2001 is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS (Form PCT/DO/EO/905) mailed APR 02 2001 have not been completed.
 - ☐ Translation of the international application into English.
 - ☐ which is defective for the reasons indicated on the attached Notice of Defective Translation.
 - ☐ Processing fee (37 CFR 1.492(f)).
 - ☐ Oath or Declaration of inventor(s).
 - ☐ not in compliance with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
 - ☐ Surcharge (37 CFR 1.492(e)).
 - ☒ Sequence Listing.
 - ☒ not in compliance with 37 CFR 1.821-1.825 for the reasons indicated on the attached PCT/DO/EO/920.
 - ☐ Additional claim fees.

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements (Form DO/EO/905), whichever is the longer. No extension of this time limit may be granted under 37 C.F.R. § 1.136, but the period for response set in the Notification of Missing Requirements (Form DO/EO/905) may be extended under 37 C.F.R. § 1.136(a).

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

Enclosed: ☐ PCT/DO/EO/917
☒ PCT/DO/EO/920

☐ Notice of Defective Translation

John L. Anderson

Telephone: 703-308-9116



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U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/763994	EDMONDS	B X-12239
INTERNATIONAL APPLICATION NO.		
PCT/US99/19436		
I.A. FILING DATE	PRIORITY DATE	
30 AUG 99	01 SEP 98	

 ELI LILLY AND COMPANY
 LILLY CORPORATE CENTER
 INDIANAPOLIS, IN 46285

DATE MAILED:

20 SEP 2001

**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☐ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☐ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☐ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☒ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: _____

APPLICANT MUST PROVIDE:

- ☒ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☐ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

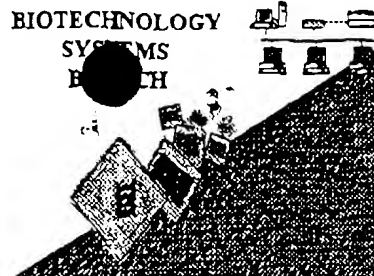
FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE CALL:

(703) 308-4216, for Rules interpretation,
 (703) 308-4212, for CRF submission help,
 (703) 287-0200, for PatentIn software help.

John L. Anderson

Telephone: 703-308-9116

RAW SEQUENCE LISTING ERROR REPORT



The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 09/763,994

Source: PCR09

Date Processed by STIC: 7/11/2001

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.

PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY

FOR CRF SUBMISSION QUESTIONS, PLEASE CONTACT MARK SPENCER, 703-308-4212.

FOR SEQUENCE RULES INTERPRETATION, PLEASE CONTACT ROBERT WAX, 703-308-4216.

PATENTIN 2.1 e-mail help: patin21help@uspto.gov or phone 703-306-4119 (R. Wax)

PATENTIN 3.0 e-mail help: patin3help@uspto.gov or phone 703-306-4119 (R. Wax)

TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE CHECKER VERSION 3.0 PROGRAM, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW:

Checker Version 3.0

The Checker Version 3.0 application is a state-of-the-art Windows based software program employing a logical and intuitive user-interface to check whether a sequence listing is in compliance with format and content rules. Checker Version 3.0 works for sequence listings generated for the original version of 37 CFR §§1.821 - 1.825 effective October 1, 1990 (old rules) and the revised version (new rules) effective July 1, 1998 as well as World Intellectual Property Organization (WIPO) Standard ST.25.

Checker Version 3.0 replaces the previous DOS-based version of Checker, and is Y2K-compliant. Checker allows public users to check sequence listings in Computer Readable form (CRF) before submitting them to the United States Patent and Trademark Office (USPTO). Use of Checker prior to filing the sequence listing is expected to result in fewer errored sequence listings, thus saving time and money.

Checker Version 3.0 can be down loaded from the USPTO website at the following address:

<http://www.uspto.gov/web/offices/pac/checker>

PCT09

RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/763,994

DATE: 07/11/2001

TIME: 11:05:29

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Output Set: N:\CRF3\07112001\I763994.raw

Does Not Comply
Corrected Diskette Needed

P.6

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5 <120> TITLE OF INVENTION: HUMAN LATENT TRANSFORMING GROWTH FACTOR-BETA BINDING
6 PROTEIN 3
8 <130> FILE REFERENCE: X-12239
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C--> 11 <141> CURRENT FILING DATE: 2001-06-08
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RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/763,994

DATE: 07/11/2001
TIME: 11:05:29

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87 <212> TYPE: PRT

88 <213> ORGANISM: Homo sapiens

90 <400> SEQUENCE: 2

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97 Arg Asp Ser Cys Gln Gln Gly Ser Asn Met Thr Leu Ile Gly Glu Asn
98 35 40 45
100 Gly His Ser Thr Asp Thr Leu Thr Gly Ser Gly Phe Arg Val Val Val
101 50 55 60
103 Cys Pro Leu Pro Cys Met Asn Gly Gly Gln Cys Ser Ser Arg Asn Gln
104 65 70 75 80
106 Cys Leu Cys Pro Pro Asp Phe Thr Gly Arg Phe Cys Gln Val Pro Ala
107 85 90 95
109 Gly Gly Ala Gly Gly Gly Thr Gly Gly Ser Gly Pro Gly Leu Ser Arg
110 100 105 110
112 Thr Gly Ala Leu Ser Thr Gly Ala Leu Pro Pro Leu Ala Pro Glu Gly
113 115 120 125
115 Asp Ser Val Ala Ser Lys His Ala Ile Tyr Ala Val Gln Val Ile Ala
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RAW SEQUENCE LISTING

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Output Set: N:\CRF3\07112001\I763994.raw

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119 145      150      155      160
121 Leu Val Pro Leu Gly Pro Gly Gln Ile Ser Ala Glu Val Gln Ala Pro
122      165      170      175
124 Pro Pro Val Val Asn Val Arg Val His His Pro Pro Glu Ala Ser Val
125      180      185      190
127 Gln Val His Arg Ile Glu Ser Ser Asn Ala Glu Ser Ala Ala Pro Ser
128      195      200      205
130 Gln His Leu Leu Pro His Pro Lys Pro Ser His Pro Arg Pro Pro Thr
131      210      215      220
133 Gln Lys Ser Leu Gly Arg Cys Phe Gln Asp Thr Leu Pro Lys Gln Pro
134 225      230      235      240
136 Cys Gly Ser Asn Pro Leu Pro Gly Leu Thr Lys Gln Glu Asp Cys Cys
137      245      250      255
139 Gly Ser Ile Gly Thr Ala Trp Gly Gln Ser Lys Cys His Lys Cys Pro
140      260      265      270
142 Gln Leu Gln Tyr Thr Gly Val Gln Lys Pro Gly Pro Val Arg Gly Glu
143      275      280      285
145 Val Gly Ala Asp Cys Pro Gln Gly Tyr Lys Arg Leu Asn Ser Thr His
146      290      295      300
148 Cys Gln Asp Ile Asn Glu Cys Ala Met Pro Gly Val Cys Arg His Gly
149 305      310      315      320
151 Asp Cys Leu Asn Asn Pro Gly Ser Tyr Arg Cys Val Cys Pro Pro Gly
152      325      330      335
154 His Ser Leu Gly Pro Ser Arg Thr Gln Cys Ile Ala Asp Lys Pro Glu
155      340      345      350
157 Glu Lys Ser Leu Cys Phe Arg Leu Val Ser Pro Glu His Gln Cys Gln
158      355      360      365
160 His Pro Leu Thr Thr Arg Leu Thr Arg Gln Leu Cys Cys Cys Ser Val
161      370      375      380
163 Gly Lys Ala Trp Gly Ala Arg Cys Gln Arg Cys Pro Thr Asp Gly Thr
164 385      390      395      400
166 Ala Ala Phe Lys Glu Ile Cys Pro Ala Gly Lys Gly Tyr His Ile Leu
167      405      410      415
169 Thr Ser His Gln Thr Leu Thr Ile Gln Gly Glu Ser Asp Phe Ser Leu
170      420      425      430
172 Phe Leu His Pro Asp Gly Pro Pro Lys Pro Gln Gln Leu Pro Glu Ser
173      435      440      445
175 Pro Ser Gln Ala Pro Pro Pro Glu Asp Thr Glu Glu Glu Arg Gly Val
176      450      455      460
178 Thr Thr Asp Ser Pro Val Ser Glu Glu Arg Ser Val Gln Gln Ser His
179 465      470      475      480
181 Pro Thr Ala Thr Thr Thr Pro Ala Arg Pro Tyr Pro Glu Leu Ile Ser
182      485      490      495
184 Arg Pro Ser Pro Pro Thr Met Arg Trp Phe Leu Pro Asp Leu Pro Pro
185      500      505      510
187 Ser Arg Ser Ala Val Glu Ile Ala Pro Thr Gln Val Thr Glu Thr Asp
188      515      520      525

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RAW SEQUENCE LISTING

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DATE: 07/11/2001

TIME: 11:05:29

Input Set : A:\X-12239SeqList.app

Output Set: N:\CRF3\07112001\I763994.raw

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197      565      570      575
199 Cys Gly Pro Gly Arg Gly Ile Cys Met Asn Thr Gly Gly Ser Tyr Asn
200      580      585      590
202 Cys His Cys Asn Arg Gly Tyr Arg Leu His Val Gly Ala Gly Gly Arg
203      595      600      605
205 Ser Cys Val Asp Leu Asn Glu Cys Ala Lys Pro His Leu Cys Gly Asp
206      610      615      620
208 Gly Gly Phe Cys Ile Asn Phe Pro Gly His Tyr Lys Cys Asn Cys Tyr
209 625      630      635      640
211 Pro Gly Tyr Arg Leu Lys Ala Ser Arg Pro Pro Val Cys Glu Asp Ile
212      645      650      655
214 Asp Glu Cys Arg Asp Pro Ser Ser Cys Pro Asp Gly Lys Cys Glu Asn
215      660      665      670
217 Lys Pro Gly Ser Phe Lys Cys Ile Ala Cys Gln Pro Gly Tyr Arg Ser
218      675      680      685
220 Gln Gly Gly Gly Ala Cys Arg Asp Val Asn Glu Cys Ala Glu Gly Ser
221      690      695      700
223 Pro Cys Ser Pro Gly Trp Cys Glu Asn Leu Pro Gly Ser Phe Arg Cys
224 705      710      715      720
226 Thr Cys Ala Gln Gly Tyr Ala Pro Ala Pro Asp Gly Arg Ser Cys Leu
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229 Asp Val Asp Glu Cys Glu Ala Gly Asp Val Cys Asp Asn Gly Ile Cys
230      740      745      750
232 Ser Asn Thr Pro Gly Ser Phe Gln Cys Gln Cys Leu Ser Gly Tyr His
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238 Pro Ala Ala Cys Ile Gly Gly Asp Cys Ile Asn Thr Asn Gly Ser Tyr
239 785      790      795      800
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244 Gln Asp Ile Asp Glu Cys Ser Gln Asp Pro Ser Leu Cys Leu Pro His
245      820      825      830
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248      835      840      845
250 Gly Phe Thr Pro Thr Gln Asp Gln His Gly Cys Glu Glu Val Glu Gln
251      850      855      860
253 Pro His His Lys Lys Glu Cys Tyr Leu Asn Phe Asp Asp Thr Val Phe
254 865      870      875      880
256 Cys Asp Ser Val Leu Ala Thr Asn Val Thr Gln Gln Glu Cys Cys Cys
257      885      890      895
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260      900      905      910
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RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/763,994

DATE: 07/11/2001

TIME: 11:05:29

Input Set : A:\X-12239SeqList.app

Output Set: N:\CRF3\07112001\I763994.raw

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263          915          920          925
265 Tyr Thr Gln Asp Asn Asn Ile Val Asn Tyr Gly Ile Pro Ala His Arg
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269 945          950          955          960
271 Lys Cys Val Asn Thr Gln Pro Gly Tyr Glu Cys Tyr Cys Lys Gln Gly
272          965          970          975
274 Phe Tyr Tyr Asp Gly Asn Leu Leu Glu Cys Val Asp Val Asp Glu Cys
275          980          985          990
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278          995          1000          1005
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281          1010          1015          1020
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284 1025          1030          1035          1040
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287          1045          1050          1055
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290          1060          1065          1070
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293          1075          1080          1085
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09/163444 2

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<220>

<223> Xaa = any amino acid encoding codon or nonsense
codon

<400> 6

Xaa cannot represent
a nonsense codon -

it can only
represent an actual
amino acid

VERIFICATION SUMMARY

PATENT APPLICATION: US/09/763,994

DATE: 07/11/2001

TIME: 11:05:30

Input Set : A:\X-12239SeqList.app

Output Set: N:\CRF3\07112001\I763994.raw

L:10 M:270 C: Current Application Number differs, Replaced Application Number
L:11 M:271 C: Current Filing Date differs, Replaced Current Filing Date
L:496 M:258 W: Mandatory Feature missing, <221> not found for SEQ ID#:6
L:496 M:258 W: Mandatory Feature missing, <222> not found for SEQ ID#:6
L:496 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:6